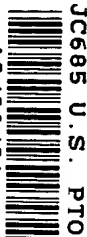


10/02/01



JC685 U.S. PTO

type a plus sign (+) inside this box



10-04-01

PTO/SB/05 (2/98)

A

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.

500453.04

October 2, 2001

First Inventor or Application Identifier

Vishnu K. Agarwal et al.

Title

POLISHING PADS AND PLANARIZING MACHINES FOR
MECHANICAL OR CHEMICAL-MECHANICAL PLANARIZATION
MICROELECTRONIC-DEVICE SUBSTRATE ASSEMBLIES, AND
METHODS FOR MAKING AND USING SUCH PADS AND MACHINES

Express Mail Label No.

EL 872038740 US

(Only for nonprovisional applications under 37 CFR § 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

1. ☒ Fee Transmittal Sheet
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant(s) Claim(s) Small Entity Status

3. ☒ Specification [Total Pages] **33**
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

☒ Drawing(s) (35 USC 113) [Total Sheets] **4**

☒ Oath or Declaration [Total Pages] **2**

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)

- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer
Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. ☐ Computer-Readable Form (CRF)

b. ☐ Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper

c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)

10. ☐ Assignment Papers (cover sheet & document(s))

11. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)

12. ☐ English Translation Document (if applicable)

13. ☒ Preliminary Amendment Total Pages **2**

14. ☒ Return Receipt Postcard

15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

16. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

17. ☒ Other: Certificate of Express Mail; Check; General
Authorization; Copy of Revocation & Substitute Power of
Attorney

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment

☒ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/621,021 Filed July 21, 2000
which is a divisional of No: 09/201,576 Filed November 30, 1998

Prior application information: Examiner William P. Fletcher III

Group / Art Unit 1700/1762

☒ Incorporation By Reference (useable if box 5b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of
the disclosure of the accompanying application and is hereby incorporated by reference therein.

CORRESPONDENCE ADDRESS

Steven H. Arterberry, Esq.
Dorsey & Whitney LLP
1420 Fifth Avenue, Suite 3400
Seattle, Washington 98101-4010
(206) 903-8800 phone
(206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Steven H. Arterberry

REGISTRATION NO. 46,314

SIGNATURE Steven Arterberry

Date 10/2/01

FEE TRANSMITTAL SHEET (FOR FY 2001)

Complete if Known

Express Mail No.	EL 872038740 US
Filing Date	Concurrently Herewith
First Named Inventor	Vishnu K. Agarwal
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500453.04

METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee
106	330	206	165	<input type="checkbox"/> Design Filing Fee
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee
114	160	214	80	<input type="checkbox"/> Provisional Filing Fee
Subtotal (1)				\$ 740

EXTRA CLAIM FEES

Current Claims	Prior	Extra	Fee	Fee Paid
Total	11	20	0 x \$ 18 =	\$ 0
Ind.	6	3	3 x \$ 84 =	\$ 252
Multiple Dependent Claims			x \$ =	\$ 0
Subtotal (2)				\$ 252

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent Claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

FEE CALCULATION (Continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - Late filing fee or oath	\$
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For Filing a Request for Reexamination	\$
115	110	215	55	Extension for reply within first month	\$
116	400	216	200	Extension for reply within 2 nd month	\$
117	920	217	460	Extension for reply within 3 rd month	\$
118	1,440	218	720	Extension for reply within 4 th month	\$
128	1,960	280	980	Extension for reply within 5 th month	\$
120	320	220	160	Filing a brief in support of an appeal	\$
121	280	270	140	Request for oral hearing	\$
148	110	248	55	Terminal Disclaimer Fee	\$
140	110	240	55	Petition to revive - unavoidable	\$
141	1,280	241	640	Petition to revive - unintentional	\$
142	1,280	242	640	Utility/Reissue issue fee (+ advance copies)	\$
143	460	243	230	Design issue fee (+ advance copies)	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional applications	\$
126	180	126	180	Submission of IDS	\$
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$
179	740	279	370	Request for Continued Examination (RCE)	\$
Subtotal (3)					\$ 0

Other fee (specify)

Total Amount of Payment: \$ 992

Submitted by:

Name: Steven H. Arterberry

Reg. No.: 46,314

Telephone: (206) 903-8800

Signature: *Steven Arterberry*

Date: 10/02/01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Vishnu K. Agarwal and
Scott G. Meikle

Attorney Docket No.: 500453.04

Filed : Concurrently Herewith

Title : POLISHING PADS AND PLANARIZING MACHINES FOR MECHANICAL OR
CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC-DEVICE
SUBSTRATE ASSEMBLIES, AND METHODS FOR MAKING AND USING SUCH
PADS AND MACHINES

GENERAL AUTHORIZATION

Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

10/02/01

Steven H. Arterberry
Steven H. Arterberry
Registration No. 46,314

SHA:tdg

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Seattle, WA 98101-4010
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Vishnu K. Agarwal and
Scott G. Meikle

Attorney Docket No.: 500453.04

Filed : October 2, 2001

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DEVICE SUBSTRATE ASSEMBLIES, AND METHODS FOR MAKING AND
USING SUCH PADS AND MACHINES

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

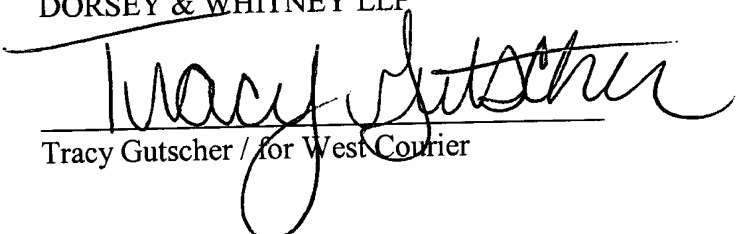
Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL872038740US, on October 2, 2001, addressed to Box Patent Application, Commissioner of Patents, Washington, DC 20231.

Respectfully submitted,

DORSEY & WHITNEY LLP


Tracy Gutscher / for West Courier

SHA:tdg

Enclosures:

- Postcard
- Check
- Form PTO/SB/05
- Application Data Sheet
- Fee Transmittal Sheet (+ copy)
- General Authorization
- Preliminary Amendment
- Copy of Specification, Claims, Abstract (33 pages)
- Copy of 4 Sheets of Drawings (Figures 1-8)
- Copy of Declaration
- Copy of Election and Power of Attorney
- Copy of Revocation & Substitute Power of Attorney
- Information Disclosure Statement and Form PTO-1449

T0200T"00T02650